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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

O I P E
MAR 12 2002

PATENT & TRADEMARK OFFICE

Application Number	10/026,747
Filing Date	December 20, 2001
First Named Inventor	Janat Horn et al.
Group Art Unit	2161
Examiner Name	Not yet assigned
Attorney Docket Number	4797-93

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
 - ☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☒ Request For Corrected Filing Receipt With A Copy Of the Official Receipt
- ☐ Amendment/Reply
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Information Disclosure Statement
 - ☐ Form PTO-1449 ___ References
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
 - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Petition to Make Special
 - ☐ Statement pertaining to pre-examination search; and
 - ☐ Detailed discussion of the references submitted with the Information Disclosure Statement

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s) - ___ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ Express Abandonment Request

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as Attorney or Agent
- ☒ Other Enclosure(s) (please identify below):

Copy of originally filed postcard, certification of mailing, and Patent application transmittal form showing filing date of December 20, 2001
Return Receipt Postcard

Remarks

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Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie S Restaino</i>
Date	March 4, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date

March 4, 2002

Type or printed name	Marcy H. Mancuso
----------------------	------------------

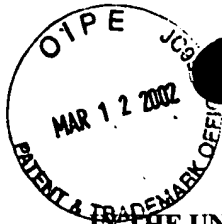
Signature

Marcy H. Mancuso

Date

March 4, 2002

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Janat Horn et al.

Docket No.: 4797-93

Serial No. 10/026,747

Group No.: 2161

Filed: December 20, 2001

Examiner: Not yet assigned

For: System and Method for Facilitating Securities Borrowing Transactions

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
- There is an error with respect to the following data, which is:

☒ incorrectly entered

and/or

☐ omitted.

Error in

- ☐ Applicant's name
- ☐ Applicant's address
- ☐ Title
- ☒ Filing Date
- ☐ Serial Number
- ☐ Other:

Correct Data

-
-
-
- December 20, 2001
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Reg. No.: 38,893

Tel. No.: (973) 285-3242

Customer No.:

Leslie S. Restaino

SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino

(type or print name of practitioner)

Brown Raysman Millstein Felder & Steiner LLP

55 Madison Avenue

Morristown, New Jersey 07960

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

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☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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☐ transmitted by facsimile to the Patent and Trademark Office.

Date: March 4, 2002

Marcy Mancuso

Signature

Marcy Mancuso

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/026,747	12/22/2001	2161	1142	4797-93	5	33	5

CONFIRMATION NO. 2100

FILING RECEIPT



OC00000007330597

Leslie Gladstone Restaino, Esq.
Brown Raysman Millstein Felder & Steiner LLP
4th Floor
55 Madison Avenue
Morristown, NJ 07960

Date Mailed: 01/18/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Janat Horn, Brooklyn, NY;
Edward Vakhovsky, Brooklyn, NY;
Irina Idislavovna Nesterovich, Fair Lawn, NJ;
Amiran Margalitachvili, Bronx, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/18/2002

Projected Publication Date: 06/26/2003

Non-Publication Request: No

Early Publication Request: No

Title

System and method for facilitating securites borrowing transactions

Preliminary Class

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Technology Center 2100

4797-93

LGR

December 20, 2001

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In re Application of: Janat Horn et al.

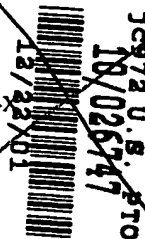
Serial No.: Not Yet Assigned

Filed: Concurrently Herewith

Title: **SYSTEM AND METHOD FOR FACILITATING SECURITIES
BORROWING TRANSACTIONS**

By Express Mail No. EK051318535US

1. Certification of Express Mailing (1 page)
2. Utility Patent Application Transmittal Letter (1 page)
3. Fee Transmittal Sheet (Original and duplicate for fee processing)
4. Specification (24 pages)
5. Drawings (5 sheets)
6. Declaration For Patent Application (4 pages)
7. Recordation Form Cover Sheet and 4 Assignments (5 pages)
8. Return receipt postcard



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Attorney Docket No.:
For:

Janat Horn et al.
4797-93
System and Method for Facilitating
Securities Borrowing Transactions



55 Madison Avenue
Morristown, N.J. 07960
December 20, 2001

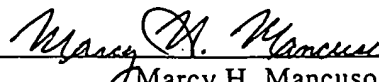
Box Patent Application
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Sir:

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CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EK051318535US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.



Marcy H. Mancuso
(Mailer)

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UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	4797-93
	First Inventor	Janat Horn
	Title	System and Method for Facilitating Securities Borrowing Transactions
	Express Mail Label No.	EK051318535US

APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification *[Total Pages 24]*
(preferred arrangement as set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) *[Total Sheets 5]*
5. Oath or Declaration *[Total Pages 4]*
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

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ACCOMPANYING APPLICATION PARTS	
9. <input checked="" type="checkbox"/> Assignment Papers <i>(cover sheet & documents(s))</i>	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>	
11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input checked="" type="checkbox"/> Other: <u>Certification of Mailing</u>	

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____
 Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		<input checked="" type="checkbox"/> Correspondence address below	
(Insert Customer No. or Attach bar code label here)			
Name	Leslie Gladstone Restaino, Esq.		
	Brown Raysman Millstein Felder & Steiner LLP		
Address	55 Madison Avenue, 4 th Floor		
City	Morristown	State	NJ
Country	USA	Zip Code	07960
	Telephone	Fax	973-285-3262
Name (Print/Type)	Leslie Gladstone Restaino, Esq.	Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>	Date	December 20, 2001

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 1182.00

Complete If Known

Application Number	not yet assigned
Filing Date	concurrently herewith
First Named Inventor	Janat Horn
Examiner Name	
Group Art Unit	to be assigned
Attorney Docket No.	4797-93

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METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
02-4270

Deposit Account Name
Brown Raysman Millstein Felder & Steiner LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
33	-20** = 13	18.00	234.00
Independent Claims	5	-3** = 2	84.00
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 402.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity (\$)	Fee Code	Small Entity (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00

SUBMITTED BY

Name (Print/Type) Leslie Gladstone Restaino

Registration No. 38,893
(Attorney/Agent)

Complete (if applicable)

Telephone (973) 285-3242

Signature

Leslie Gladstone Restaino

Date December 20, 2001

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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/026,747	12/22/2001	Janat Horn	4797-93

CONFIRMATION NO. 2100



OC000000007839424

Leslie Gladstone Restaino, Esq.
Brown Raysman Millstein Felder & Steiner LLP
4th Floor
55 Madison Avenue
Morristown, NJ 07960

Date Mailed: 04/10/2002

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

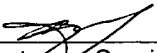
Application Filing Date

In response to your request for a corrected Filing Receipt, the Office can not comply with your request because:

- ☒ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- ☐ A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- ☐ The "date in" on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- ☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

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Commissioner for Patents
Washington, DC 20231



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